

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 2-2005)

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

55610/DBP/A400

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/542,392

INTERNATIONAL APPLICATION NO.

PCT/JP2004/000319

INTERNATIONAL FILING DATE

January 16, 2004

PRIORITY DATE CLAIMED

January 17, 2003

TITLE OF INVENTION

PLANT-CULTIVATING DEVICE AND PLANT-CULTIVATING METHOD

APPLICANT(S) FOR DO/EO/US

Yuichi Mori et al

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

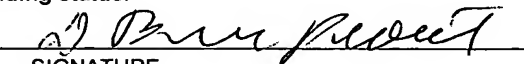
1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV326705266US
23. ☒ Other items or information:

Verified Statement Claiming Small Entity Status and Request for Partial Refund (w/Small Business Concern)
Small Entity Status is hereby claimed.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/542,392		INTERNATIONAL APPLICATION NO. PCT/JP2004/000319		ATTORNEY'S DOCKET NUMBER 55610/DBP/A400		
The following fees are submitted:				CALCULATIONS	PTO USE	
24. <input type="checkbox"/> Basic national fee \$300				\$	\$0.00	
25. <input type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). \$100 All other situations. \$200				\$	\$0.00	
26. <input type="checkbox"/> Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100 International Search Report prepared and provided to the Office \$400 All other situations. \$500				\$	\$0.00	
TOTAL OF 24, 25 and 26 =				\$	\$0.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.						
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE			
- 100 =	0	/50 =	0	x \$250.00	\$ \$0.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			
Total claims	- 20 =	0	x \$50.00	\$	\$0.00	
Independent claims	- 3 =	0	x \$200.00	\$	\$0.00	
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$	\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$	\$0.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00	
SUBTOTAL =				\$	\$0.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00	
TOTAL NATIONAL FEE =				\$	\$0.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00	
TOTAL FEES ENCLOSED =				\$	\$0.00	
				Amount to be	\$	
				Amount to be	\$	
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-1728</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>						
<p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>CUSTOMER NUMBER: 23363</p> <p>D. Bruce Prout</p> <p>Christie, Parker and Hale, LLP</p> <p>P.O. Box 7068</p> <p>Pasadena, CA 91109-7068</p> <p>Telephone: 626-795-9900</p>						
				 SIGNATURE		
				D. Bruce Prout		
				NAME		
				20,958		
				REGISTRATION NUMBER		

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Express Mail No. EV326705266US

Appl No. : 10/542,392 Confirmation No. N/A
Applicant : Yuichi Mori, et al.
Filed : July 15, 2005
Title : PLANT-CULTIVATING DEVICE AND PLANT-CULTIVATING
METHOD
TC/A.U. : N/A
Examiner : N/A
Docket No. : 55610/DBP/A400
Customer No. : 23363

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
AND REQUEST FOR PARTIAL REFUND**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Post Office Box 7068
Pasadena, CA 91109-7068
September 13, 2005

Commissioner:

Applicant hereby claims Small Entity status as of the date of payment of the filing fee. Enclosed is a Verified Statement (Declaration) Claiming Small Entity Status-Small Business Concern.

A fee in the amount of \$1250 was paid on July 15, 2005 as a non-small entity status. The excess over a small entity fee is \$625.

Applicant hereby requests that a refund of the excess fee

Appln No. 10/542,392
Amdt date September 13, 2005
Reply to Office action of

be made by check with this firm as payee. Please indicate our
docket number on the check. **A copy of this request is enclosed.**

Respectfully submitted,
CHRISTIE, PARKER & HALE, LLP

By *D Bruce Prout*
D. Bruce Prout
Reg. No. 20,958
626/795-9900

DBP/djp

Enclosure: Copy of this request; Small Entity Declaration
DJP PAS642590.1--*09/13/05 10:45 AM